PTO/SB/21 (08-03) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Raperwork Reduction Act of 1995, no persons are required to respond to a collection of information untess it displays a valid OMB control number. Application Number 10/771,709 Filing Date February 4, 2004 TRANSMITTAL First Named Inventor Robert L. Padgette **FORM** Group Art Unit (to be used for all correspondence after initial filing) **Examiner Name** Attorney Docket Number 014242-000011 Total Number of Pages in This Submission ENCLOSURES (check all that apply) After Allowance Communication Fee Transmittal Form Drawing(s) to Group Fee Attached Licensing-related Papers Appeal Communication to Board Petition of Appeals and Interferences Amendment / Reply Petition to Convert to a Appeal Communication to Group After Final Provisional Application (Appeal Notice, Brief, Reply Brief) Affidavits/declaration(s) Power of Attorney, Revocation Proprietary Information Change of Correspondence Extension of Time Request Status Letter Address **Express Abandonment Request Terminal Disclaimer** Other Enclosure(s) (please Information Disclosure Statement identify below): Request for Refund Information Disclosure Statement -Certified Copy of Priority CD, Number of CD(s)_ 1 cited reference **Documents** Acknowledgement postcard Response to Missing Parts/ Incomplete Application Remarks Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm CHARLES L. MOORE (REG NO. 33,742) Individual Name **MOORE & VAN ALLEN** Signature Date May 4, 2004 **CERTIFICATE OF TRANSMISSION/MAILING** I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-

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Attorney Docket: 014242-000011

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Robert L. Padgette

Group Art Unit:

Serial Number: 10/771,709

Examiner:

Filed: February 4, 2004

For: METHOD AND SYSTEM FOR SELECTING BETWEEN OR ALLOCATING AMONG

ALTERNATIVES

Commissioner for Patents PO Box 1450 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97

It is respectfully requested that the documents listed on the attached Form PTO/SB/08A be considered by the Patent and Trademark Office in the above-referenced application and made of record therein. This information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last.

Respectfully submitted,

By:

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May 4, 2004

Date

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Substitute	e for form 1449A/PTO			Complete if Known		
				Application Number	10/771,709	
	INFORMATION DISC	LOS	SURE	Filing Date	February 4, 2004	
	STATEMENT BY AP	PLIC	CANT	First Named Inventor	Robert L. Padgette	
ļ				Art Unit		
	(use as many sheets as ne	cessa	ny)	Examiner Name		
Sheet	1	of	2	Attorney Docket Number	014242-000011	

			U.S. PATENT D	OCUMENTS	
Examiner Initials'	Cite No. ¹	Document Number Number-Kind Code ² (if known	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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	В	US- 2001/0056391 A1	12/27/2001	Schultz	
	С	US- 2002/0042764 A1	04/11/2002	Gardner et al.	
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	, Y	US-2002/0107770 A1	08/08/2002	Møyer et al.	
	Z	US-2002/0111890 A1	08/15/2002	Sloan et al.	
	AA	US-09/704,349	11/01/2000	Johnston et al.	-

Examiner	Date	4
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NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	-2				
	ВВ	A Sensible Mutual Fund Selection Model, by Hakan Saraoglu and Miranda Lam Detzler, pgs. 60-72 (2002)					
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